

03/29/01
J1048 U.S. PTO

03-30-01

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Box/sec

| | | |
|---|---|--|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)) | Attorney Docket No. | SEL-00104.P.1 |
| | First Inventor or Application Identifier | Yu, Zhongping |
| | Title | Compositions and Methods for Identifying Polypeptides and Nucleic Acid Molecules |
| | Express Mail Label No. | EL648659796US |
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 | |
| <p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages of application [128]]</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets [7]]</p> <p>4. Oath or Declaration</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (For continuation/divisional with Box 16 completed)</p> <p>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application See 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</p> <p>*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27); EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</p> <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary)</p> <p>a. <input checked="" type="checkbox"/> Computer Readable Copy</p> <p>b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy)</p> <p>c. <input checked="" type="checkbox"/> Statement verifying identity of above copies</p> | | |

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ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & documents(s)) ✓
8. ☐ 37 C.F.R. § 3.73(b) Statement
(when there is an assignee)
☒ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449
☐ Copies of IDS Citations
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☒ * Small Entity Statement(s) (PTO/SB/09-12)
☐ Statement filed in prior application. Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)
(If foreign priority is claimed)
15. ☒ Other: Certificate of Mailing by Express Mail

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) Of prior application No: _____

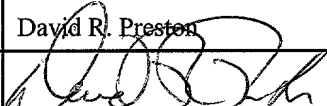
Prior application Information: Examiner _____ Group Art Unit _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion as been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE INFORMATION

☒ Customer Number **24232** or Bar Code Label [] or

☐ Correspondence address below

| | | | |
|--------------------------|---|---------------------------------------|----------------|
| Name | | David R. Preston | |
| Address | | 11404 Sorrento Valley Road, Suite 104 | |
| City, State and Zip Code | | San Diego, California 92121 | |
| Country | | USA | |
| Telephone | | 858.450.1388 | |
| Facsimile | | 858.450.2188 | |
| Name | David R. Preston | Registration Number | 38,710 |
| Signature |  | Date | March 28, 2001 |

Corresponds to PTO/SB/05

| FEE TRANSMITTAL Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28. | | Complete if Known | |
|---|------------------|-----------------------|-------------------------|
| | | Application Number: | To be determined |
| | | Filing Date: | Herewith |
| | | First Named Inventor: | Yu, Zhongping |
| | | Group / Art Unit: | To be determined |
| Total Amount of Payment | \$ 746.00 | Docket Number: | SEL-00104.P.1-US |

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| METHOD OF PAYMENT |
|---|
| 1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: <input type="checkbox"/> Deposit Account Name: <input type="checkbox"/> <input type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance. |
| 2. <input checked="" type="checkbox"/> Payment Enclosed <input checked="" type="checkbox"/> Check Number: [698] <input type="checkbox"/> Money Order <input type="checkbox"/> Other |

| FEE CALCULATION | | | | | | |
|---------------------|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|------------------|
| 1. BASIC FILING FEE | | | | | | |
| | Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
| | 101 | | 201 | 355.00 | Utility Filing Fee | \$ 355.00 |
| | 106 | | 206 | | Design Filing Fee | \$ |
| | 107 | | 207 | | Plant Filing Fee | \$ |
| | 108 | | 208 | | Reissue Filing Fee | \$ |
| | 114 | | 214 | | Provisional Filing Fee | \$ |
| SUBTOTAL (1) | | | | | | \$ 355.00 |

2. EXTRA CLAIM FEES

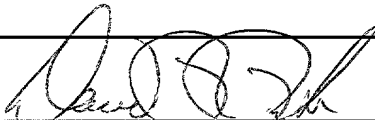
| | | | | Extra Claims | | Fee From Below | | Fee Paid |
|-----------------------|------|--------|--------|-----------------|-------|-------------------|--------|-----------|
| Total Claims | [59] | -20 ** | Equals | [39] | Times | [9.00] | Equals | \$ 351.00 |
| Independent Claims | [3] | -3 ** | Equals | [0] | Times | [40.00] | Equals | \$ 0.00 |
| Subtotal (2) | | | | | | | | \$ 351.00 |

** or number previously paid, if greater, For Reissues, see below

| | Large Entity | | Small Entity | | Fee Description |
|--|--------------|----------|--------------|----------|--|
| | Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| | 103 | | 203 | 9.00 | Claims in excess of 20 |
| | 102 | | 202 | 40.00 | Independent claims in excess of 3 |
| | 104 | | 204 | | Multiple dependent claim, if not paid |
| | 109 | | 209 | | ** Reissue independent claims over original patent |
| | 110 | | 210 | | ** Reissue claims in excess of 20 and over original patent |

| 3. ADDITIONAL FEES | | | | | |
|----------------------|----------|--------------|----------|--|----------|
| Large Entity | | Small Entity | | Fee Description | Fee Paid |
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | | 205 | | Surcharge - late filing fee or oath | \$ |
| 127 | | 227 | | Surcharge - late provisional filing fee or cover sheet | \$ |
| 139 | | 139 | | Non-English specification | \$ |
| 147 | | 147 | | For filing a request for reexamination | \$ |
| 112 | | 112 | | Requesting publication of SIR prior to Examiner action | \$ |
| 113 | | 113 | | Requesting publication of SIR after Examiner action | \$ |
| 115 | | 215 | | Extension for reply within first month | \$ |
| 116 | | 216 | | Extension for reply within second month | \$ |
| 117 | | 217 | | Extension for reply within third month | \$ |
| 118 | | 218 | | Extension for reply within fourth month | \$ |
| 128 | | 228 | | Extension for reply within fifth month | \$ |
| 119 | | 219 | | Notice of Appeal | \$ |
| 120 | | 220 | | Filing a brief in support of an appeal | \$ |
| 121 | | 221 | | Request for oral hearing | \$ |
| 138 | | 138 | | Petition to institute a public use proceeding | \$ |
| 140 | | 240 | | Petition or revive - unavoidable | \$ |
| 141 | | 241 | | Petition or revive - unintentional | \$ |
| 142 | | 242 | | Utility issue fee (or reissue) | \$ |
| 143 | | 243 | | Design issue fee | \$ |
| 144 | | 244 | | Plant issue fee | \$ |
| 122 | | 122 | | Petitions to the Commissioner | \$ |
| 123 | | 123 | | Petitions related to provisional applications | \$ |
| 126 | | 126 | | Submission of Information Disclosure Statement | \$ |
| 581 | | 581 | 40.00 | Recording each patent assignment per property | \$ 40.00 |
| 146 | | 246 | | Filing a submission after final rejection (37 C.F.R. 1.129(a)) | \$ |
| 149 | | 249 | | For each additional invention to be examined (37 CFR 1.129(b)) | \$ |
| Other fee (specify): | | | | | \$ |
| | | | | Subtotal (3) | \$ 40.00 |

| 4. SUMMATION OF FEES | |
|----------------------|------------------|
| SUBTOTAL (1) | \$ 355.00 |
| SUBTOTAL (2) | \$ 351.00 |
| SUBTOTAL (3) | \$ 40.00 |
| TOTAL FEES | \$ 746.00 |

| SUBMITTED BY | | | Complete (If Applicable) | |
|-----------------------|---|---------------|--------------------------------|--------|
| Typed or Printed Name | David R. Preston | | Registration Number: | 38,710 |
| Signature |  | Date: 3/29/01 | Deposit Account User ID Number | 501321 |

| | | |
|-----------------------------------|---|----------------------------|
| In re application of: |) | |
| |) | |
| Zhongping Yu |) | Examiner: To be determined |
| |) | |
| Application No.: To be determined |) | Art Unit: To be determined |
| |) | |
| Filed: Herewith |) | |
| |) | |
| For: COMPOSITIONS AND |) | |
| METHODS FOR IDENTIFYING |) | |
| POLYPEPTIDES AND NUCLEIC |) | |
| ACID MOLECULES |) | |
| |) | |

Assistant Commissioner for Patents
Washington D.C. 20231

Sir:

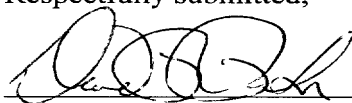
STATEMENT UNDER 37 C.F.R. 1.821(f)

In accordance with the requirements under 37 C.F.R. 1.821 through 1.825 for patent applications containing nucleotide sequence and/or amino acid sequence disclosures, Applicants submit herewith a Written Sequence Listing and corresponding Computer-Readable Form Sequence Listing for the above-identified application. The information recorded in Computer Readable Form is identical to the Written Sequence Listing.

Date:

March 28, 2001

Respectfully submitted,



David R. Preston

Reg. No. 38,710

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